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ABSTRACT

Policies for cataloging legal materials are presented; a rationale for adoption is given for each policy; and implications, recommendations, and procedures are noted when warranted. Sections cover both catalog and file maintenance, descriptive cataloging, classification, OCLC usage, departmental work flow, and special materials such as serials and loose-leaf services. A subject index facilitates access to topics. The manual is intended to be used by library staff at all levels and can serve as a model for special libraries preparing to organize and process collections. (KM)

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CATALOGING POLICY MANUAL FOR LAW LIBRARIES

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PREFACE

Background

The author's Collection Access Policy (Syracuse, N.Y.: ERIC, 1984. ED 246 908) is a cataloging policy manual written primarily for academic research libraries. Its format for publication is "generic" in order to provide a model for all types of libraries. This document instead is intended as a practical application prepared specifically for law libraries.

Acknowledgements

In libraries much oral tradition regarding departmental operations is obtained from colleagues: in this regard, I wish to thank especially Deputy Circuit Librarian Sara Straub. The assistance of Circuit Librarian Elaine P. Fenton and Reference Librarian Sue T. Lee in reviewing our local manual for applicability to the clientele of law libraries is also greatly appreciated. With such commentary from supervisors, the new Technical Services Librarian could prepare work flowcharts in conjunction with a policy statement. Of course all suggestions which follow are opinions solely of the author.

Scope

Treatment is intended to cover all phases of cataloging operations, but is arranged so that new topics (such as cataloging various types of material) can be added at will.

This statement is to be used by library staff at all levels. Administrators are made aware of the decision-making process involved in daily cataloging practice, and can use an in-house manual as a record of past decisions. Librarians can examine interrelationships between library processes for planning purposes. Technical services personnel can consult the statements as an operations manual providing guidelines and rationale for procedures, as well as a resource for explanation to users.

For each library, certain assumptions are implicit. For the library described hereafter, it is assumed that cataloging is based on Library of Congress copy, OCLC network services are used--probably in dial-access mode with an M300 workstation, a card catalog will remain the primary access tool for several years, automation may be installed in stages--possibly using IBM PC capabilities temporarily as back-up, and staffing is limited.

Purpose

A policy statement is essential for organizational purposes: its systematic application will provide uniformity of practice to ease the transition to automated systems. Policies can quickly be examined for relevance during changing technology, and data can be entered in more standardized formats. Service to library users--a primary concern--is enhanced through automation of library functions.

1.0 Catalog Maintenance

1.1 Filing Rules

Policy: The ALA Filing Rules will remain the basis for filing in the card catalog, and will be expanded to allow for complex filing problems.

Rationale: These rules are sufficient for a small catalog, and will provide transition to an online catalog because of the "file as is" principle.

1.2 Filing Revision

Policy: The Cataloger will revise the filing by staff.

Rationale: Professional level decisions are necessary to resolve conflicts in the card catalog and numerous other files so revision should be centralized; filing however can be decentralized because of the workload involved.

1.3 Local Filing Practice

Policy: Local filing practice is suggested as follows: cards for the main library are filed before the satellite locations; for identical entries, serials and sets precede monographs; editions are arranged chronologically with the latest edition first.

Rationale: Decisions were made to accommodate local needs.

1.4 AACR2 Impact

Policy: AACR2 headings are added to the card catalog by making conflicting headings compatible through card alteration.

Rationale: Past practice and published studies indicate that this is a practical solution; splitting files would be disruptive to users, and interfiling might confuse staff.

Procedure: Using adhesive labels or liquid paper are suggested methods to alter cards.

1.5 Subheadings

Policy: All subheadings will be changed when the main heading is changed, unless the AACR2 form cannot be determined.

Rationale: Split files are avoided, since users tend to consult only one file in a multiple file system; cross references will guide users to the new heading.

1.6 Access Points

Policy: Provide additional access for special cases, such as initialisms, numbers, and symbols (e.g. ampersands).

Rationale: Users of manual and online catalogs can find the headings regardless of searching strategy.

1.7 Official Catalog

Policy: Since an "alphabetical list" was established, this official catalog will be maintained by the cataloger; all changes to records will be marked on these cards.

Rationale: Keeping an "official" record would be worthwhile enough to justify the time and expense of maintaining an additional file.

Implication: Past experience indicates that having an up-to-date bibliographic record with holdings information included is invaluable for accurate and complete conversion to machine-readable form.

1.8 Disposition of Catalogs

Policy: Catalogs are an asset at present, and must be maintained regardless of cost.

Rationale: The card catalog is used by the public to access the collection, so it must be kept current and complete; security measures must be taken when appropriate.

Implication: OCLC archival tapes could serve as a back-up whenever needed, e.g. during disasters; the future of all catalogs (freezing, closing, etc.) will need review as files are automated.

2.0 File Maintenance

2.1 Established Forms

Policy: Forms established by the Library of Congress serve as the basis for all authority work.

Rationale: Library of Congress copy is heavily used for current cataloging (along with OCLC records based on L.C. practice) so variations are made mostly to resolve conflicts.

2.2 Local Headings

Policy: Local headings will be created when needed.

Rationale: Additional access is frequently needed for legal materials, so creation of local headings (especially uniform titles) is done based on L.C. patterns.

2.3 Subject Headings

Policy: Library of Congress Subject Headings, 10th ed. (LCSH 10) plus "Weekly Lists" and supplements, and the AALL Subject Headings ... (3rd ed.) serve as authority.

Rationale: Since there is no online subject authority list on OCLC and headings cannot be updated by "flipping" records, manual lists must be used to verify headings given on OCLC records by other libraries.

2.4 Series Headings

Policy: New series are being traced when cataloged, and cards are prepared for a newly-created authority file to show established forms, cross references, and given treatment decisions.

Rationale: Access by series is useful for acquisitions and reference purposes, as well as public use.

Implication: Series coded as not traced on OCLC are not indexed, hence there is no access: a deplorable situation; this policy might prevent such a situation in a local online catalog.

2.5 Name Headings

Policy: A newly-created authority file includes names which require cross references. Personal names are added only for shortened names and variants, but not if the surname is unchanged. Corporate names are included whenever variant forms or uniform titles are involved.

Rationale: This practice will speed the determination of established forms for complex names.

Implication: Consult this file for established form of name before searching an author/title series.

2.6 Union List

Policy: Since a union list has been established, it will be maintained by the appropriate librarian.

Rationale: Since branches do receive card sets and shelf lists, it would be useful to have in the main library a file of the entire collection.

2.7 Production

Policy: The "start of pack" card from OCLC which shows the number of cards produced on a given date will be retained; other start-of-pack cards for different files will be discarded.

Rationale: This data is useful for statistical purposes and accountability.

2.8 Authority Cards

Policy: In preparing cards for the authority files, the following conventions will be used: the established heading appears at the top, treatment notes follow, cross references selected from L.C. authority records are marked with an "x", local references are marked "ADD", and the authority number is put in the lower right-hand corner.

Rationale: This follows fairly standard practice.

3.0 Descriptive Cataloging

3.1 Rule Codes

Policy: Description should match the coding of the OCLC record, rather than be converted to AACR2 punctuation.

Rationale: Change from one rule code to another requires much time and knowledge of minute detail, so accept record format; access is paramount to description anyway.

Implications: If coding is in error, an OCLC Change Request Form (an error report) is filed. The predominant form of description is followed. All catalogs are a hybrid of rule codes (ALA, AACR, ISBD, and AACR2 to date) because of the dynamic nature of cataloging!

3.2 Spacing and Capitalization

Policy: Spacing and capitalization alterations are kept to a minimum.

Rationale: According to the rules, such changes are acceptable during transcription of the title page: however, OCLC connect time is valuable and should not be used for such minor details. Access points are an exception.

Implication: Only in specified areas (as title) should spacing be checked, for proper retrieval of information.

3.3 Title Tracing

Policy: Stop title tracing by placing a delimiter after appropriate mark of punctuation for the rule code.

Rationale: Rules should be consistently applied in order to readily determine end of title entries.

Implication: On ALA rules, code the information to AACR format for uniformity.

3.4 Abbreviations and Numerals

Policy: Follow the abbreviations and numeral lists in the appropriate code, accepting L.C. and cooperative copy but changing other records.

Rationale: Practice should be standardized.

Exception: Determine consistent use of "vol." (usually at start of notes) and "v." (in series/call numbers).

3.5 Printings

Policy: Later printings are not considered first editions.

Rationale: By definition, a first edition is the first impression of a publication.

Procedure: If there are several copies available with different printing dates, use original date of publication.

3.6 Foreign Imprints

Policy: For foreign works (especially British) consider the entire work to determine the edition.

Rationale: Cataloger's judgment must be used, because the publishers' conventions are inconsistent; often numbered editions are just later printings, with the press run given.

Implication: Only after examination of the bibliographic information can the appropriate OCLC record be chosen.

3.7 Reprint Editions

Policy: Reprints are treated as separate editions when a title page is supplied, or when description varies from the original.

Rationale: Publishers "remainder" stock so judgment is needed for blanket and approval orders.

3.8 Source of Information

Policy: Information from labels, but not the dust jacket, will be accepted in the body of the description.

Rationale: Only information supplied with the book is recorded, since the item itself is the chief source of data.

Implication: Information found elsewhere may be added in a note, with the source cited though.

3.9 Imprint Information Supplied

Policy: Date information will be supplied.

Rationale: This data is useful to distinguish and arrange editions, so it is supplied.

Procedure: Do not use "n.d." and use "n.p.", "s.l.", and "s.n." in rare cases where data cannot be verified in standard sources.

3.10 Date Information Recorded

Policy: In regard to dates, apply rules rigorously.

Rationale: Because of the complexity of treating dates, the codes serve as an authority -- the examples considered prescriptive in this case.

3.11 Oversize

Policy: Ignore OVERSIZE designations locally.

Rationale: The OCLC Profile was established this way.

3.12 Closing Sets

Policy: Sets are closed based on information supplied by L.C. or the publisher; books in-hand serve as authority for the description, since pre-pub data may not be accurate.

Rationale: Accepting of assumed information leads to much recataloging from past experience, so use only verified data.

3.13 Call Number Designations

Policy: Number terms in the series area reflect the book, whereas call number designations use equivalents.

Rationale: For shelving and shelflisting purposes, use standard terms for clarity and uniformity.

3.14 Series Numbering

Policy: Series numbering is supplied from the book.

Rationale: Data cannot be readily verified, but is supplied in case of conflict -- e.g., when a series is classed together and numbering is missing from volumes.

Implication: Filing may be affected, so follow rules.

3.15 Series Position on Cards

Policy: Series were printed on L.C. cards as statements (in parentheses) or as notes; code these as series.

Rationale: Practice evolved over time.

Implication: Omit any periods and treat these in updated fashion for machine-readable records.

3.16 Temporary Data

Policy: Omit temporary data (in angle brackets, as <>) on OCLC records for card production purposes.

Rationale: This information constantly changes, and reflects L.C. holdings not ours -- so it may confuse users.

3.17 Bibliography/Index Notes

Policy: Accept format of these notes, unless data is incorrect.

Rationale: The time spent changing order/description of information is not justified for user purposes.

Procedures: See the latest Cataloging Service Bulletin for L.C. policy regarding bibliographic data. The British added index notes in ISBD, prior to AACR2 adoption -- but this field is added now anyway, either before or after the "bib note" area.

3.18 Content Notes

Policy: All contents notes should be printed on the cards.

Rationale: Information may be needed for determining holdings and ordering purposes.

3.19 Reprint Notes

Policy: Reprint notes are used to reflect either printings or editions.

Rationale: This policy is based on the rule codes.

Implication: Only checking the entire imprint of the original determines whether the item is a variant edition or not; as much as possible this situation will be avoided, in order not to confuse users.

3.20 "With" Notes

Policy: "With" notes are made when appropriate, with linkage mandatory.

Rationale: The user must know the relation of works to each other, in these rare cases.

3.21 Quoted Notes and Paraphrasing

Policy: Quoted notes are preferred, but paraphrasing is acceptable; source should be given.

Rationale: Quoting information is quicker than formatting it, and meaning will not be changed as a result. For clarity or brevity, paraphrasing is a useful alternative. Citing the source speeds look-up later.

3.22 Bibliographic History Notes

Policy: Full bibliographic history notes are given when authors or titles change, but not for variant imprints nor series.

Rationale: Users find this data helpful as a linkage to past records; L.C. limits this information now, because of budgetary constraints, but such data is worth the effort to locate and record.

Implication: Catalogers must use judgment in deciding whether to add an access point to the record; different imprints and series distinguish editions as a matter of course, as (obviously) do edition statements.

3.23 Optional Notes

Policy: Usage of certain notes is optional, but preferred: e.g. errata sheets inserted, pocket parts, supplements.

Rationale: Although the reader may not need the data until the item is in-hand anyway, it indicates that some additional material is included.

Procedure: Add these notes as a matter of course.

3.24 Holdings Information

Policy: Add a note to indicate holdings for incomplete sets and series; add a similar note for complete sets only in rare cases where the collation does not describe the set.

Rationale: This data can be pencilled in, but looks better printed on cards, for ease of use.

Procedure: It is recommended that data be capitalized to stand out, e.g. LIBRARY HAS: V. 1-20 & SUPPLEMENTS.

Implications: This information will need to be changed when additional volumes are received, so decide whether you will reorder cards or pencil in data as a matter of course. Replace/update the record with local (590) note as needed.

3.25 Location Information

Policy: Add a note for special locations as a new practice.

Rationale: cf. 3.24; data speeds finding materials.

Procedure: It is recommended that data be capitalized to stand out, e.g. IN LIBRARIAN'S OFFICE.

Recommendation: cf. 3.24 and 3.27.

3.26 Special Notes

Policy: Add notes "With author's autograph".

Rationale: This indicates value or rarity of item.

3.27 Local Notes

Policy: Add local data for accessions purposes.

Rationale: This records acquisitions information.

Procedure: Determine appropriate (as 049) field.

3.28 Local Processing Information

Policy: Add codes for processing materials.

Rationale: Local data could have a future use when running the archive tapes from OCLC.

Procedure: Determine data elements needed in 949 field.

3.29 Access Points Explained in Description

Policy: All access points except subjects must be "explained" in the description.

Rationale: This is implied cataloging practice well worth stating, since it shows the relationship of main and added entres to the work; subjects are often suggested from the descriptive elements, but indicate content rather than description: this practice indicates quality cataloging.

Procedure: Explain and make added entries for any appendices containing legal materials; note other information when useful.

4.0 Classification

4.1 Bibliographies

Policy: Bibliographies are classified in class KF1+

Rationale: Bibliographic tools are kept together in this manner, rather than scattered in class Z.

Implication: An alternate call number may be incomplete, but can be expanded for local usage.

4.2 Projects

Policy: Reclassification is undertaken as the AALL KF Cumulative Schedule and L.C. schedules are revised.

Rationale: This practice prevents splitting of some collections in the stacks; consideration is given to usage of items and the integration of current cataloging in the shelf list.

4.3 Local Shelving Policy

Policy: Follow any local lists prepared for the users as a guide for subject collection arrangement.

Rationale: This keeps similar material together in the stacks; shelf list supplements and companion volumes next to the original work for ease of retrieval.

4.4 Diacriticals and Cuttering

Policy: Ignore diacriticals for Cuttering purposes.

Rationale: This may differ from L.C. practice but in a catalog diacriticals are ignored per ALA rules.

4.5 Schedules and Tables

Policy: Use all applicable tables in the schedules, as well as information from Cataloging Service Bulletin and L.C. shelflisting memos; apply certain tables throughout the scheme.

Rationale: Practice was explained at a national conference.

4.6 Monographs

Policy: Create a policy of adding dates to call numbers of all monographs, per the latest L.C. practice.

Rationale: This practice is useful for collection development purposes, indicating editions held.

4.7 Sets and Serials

Policy: Create a policy of not adding dates to sets and serials.

Rationale: Volumes are received/published out of sequence, so reclassification becomes necessary too often.

Procedure: Slide the Cutter to distinguish variant editions, usually adding a "2" etc. as necessary.

Implication: For collection development purposes, examine items to determine variant editions.

Practice: Leave long runs already done "as is".

4.8 Dates/Letters in Call Numbers

Policy: Reserve letters to distinguish editions of a given date.

Rationale: Shelving is more logical this way.

Procedure: Use "a" for photocopies, to keep them beside the original text; use "b", "c", "d" etc. for variants as received or published; use "z" for uncertain dates to place them at the end of that year.

4.9 Analyzed Sets Jointly Classified

Policy: Analyzed sets may be cataloged separately but jointly classified.

Rationale: Reference librarians prefer analysis to bring out individual authors/titles of a series or set, so description emphasizes the individual item; classification jointly keeps items together on the shelves.

Implication: This is much more work for the cataloger, but greatly enhances access and physical processing.

5.0 OCLC Usage

5.1 Standards

Policy: Bibliographic Input Standards and the appropriate format are used, creating full cataloging records.

Rationale: High cataloging standards are maintained, since quality control should be emphasized in a network.

Implication: The acceptance of Library of Congress cataloging predetermines this pattern, to some extent.

Recommendation: Prefer "Level I" for input.

5.2 Services

Policy: All cataloging will be done via OCLC.

Rationale: Full usage should be made of database services. Uniformity of operation is also achieved by using the same procedure for all materials. This practice should follow OCLC contract stipulations.

5.3 Library Symbol

Policy: One's holdings symbol on a record should indicate that the library has the given edition.

Rationale: Cataloger's judgment determines whether the record matches the item in-hand or not; library holdings should reflect the actual situation.

Procedure: Cancel holdings on OCLC and produce cards using the record for the correct edition.

Implication: Replacements often result in receipt of variants editions, so holdings must be adjusted accordingly; remove the symbol from items discarded, lost, or withdrawn.

5.4 Cooperative Cataloging

Policy: Cooperative cataloging is accepted.

Rationale: International cataloging and major national projects are jointly sponsored by L.C.; since their staff examines work for uniformity, this reduces our workload.

Procedure: Accept foreign cataloging by national (as UKM) libraries, projects such as NACO (authorities), COMARC (monographs), ARL (microforms), CONSER (serials) if possible.

5.5 Satellite Collections

Policy: With OCLC separate card sets are ordered for each location symbol, in order to receive the correct number of cards.

Rationale: This eliminates manual typing of cards.

Implication: Records may be split by holdings code on the archive tape; the last transaction alone may be saved. This policy may need reexamination for the online catalog.

5.6 Supplements

Policy: With AACR2 supplementary material can be described independently (in a separate record) or dependently (in the same record). In general prefer locally to use dependent treatment.

Rationale: OCLC coding does not provide for dash-ons so separate records are generated when access points vary; linkage through access points to the original work is provided. Law libraries receive many supplements, however.

Procedure: Use note like "[To be] Kept up to date by pocket parts, cumulative supplements, and revised vols."

Implication: In rare cases, create separate records.

5.7 Photocopies

Policy: L.C. policy for cataloging microreproductions will be followed: in particular, for photocopies descriptive data will relate to the original item while data for the reproduction will appear in the note area.

Rationale: It appears better to avoid numerous database records for UMI photocopies, since they are published "on demand" each year.

Procedure: Consider this copy-specific data (coded 533) since the text/description is identical for each issue.

6.0 Departmental Workflow

6.1 Preliminary Processing

Policy: Preliminary processing involves accessioning.

Rationale: This is tied to ordering/record-keeping.

Procedure: Pencil in data, in case item returned.

Implication: Volumes have the same control number, and so are not identified piece-specific as yet.

Recommendation: This practice can continue, but will need reexamination as an integrated online system is chosen.

6.2 Searching

Policy: Searching includes OCLC software and various shelf lists on microfiche.

Rationale: These bibliographic tools are currently available, and should be sufficient in most cases.

6.3 Sorting

Policy: Because of the M300 MicroEnhancer batching, it is best to group materials by current or RECON, monograph or serial, set or separate, main or reference collection, L.C. copy or not, etc.

Rationale: To take advantage of lower connect rates, work can be done in non-prime time, with advance planning; later processing is speeded by batch work.

6.4 Duplicates and Added Volumes

Policy: Duplicate copies for the collections and added volumes are treated in a special process called ADDs.

Rationale: Cards are already available, but data must be checked for updating.

Procedure: Librarians should be notified of unwanted duplicates.

6.5 Card Production

Policy: Card sets are ordered, along with "extra cards" (for the branches) and another file (official catalog).

Rationale: Card catalogs/files must be maintained.

Implication: This practice keep branches informed as to the collection in the main library.

6.6 Accessions Lists

Policy: Consider creation of an accessions list to inform others of new acquisitions recently processed.

Rationale: This is a service appreciated by those needing new material similar to "current awareness" service.

Procedure: Remember that only OCLC "produces" generate this list; follow this practice when recataloging items too.

6.7 Processing

Policy: Books are held (by date or disk number) in the unit while cards are ordered on OCLC, in order to continue physical processing; exceptions are RUSH items and ADDs.

Rationale: Revision is more accurate when all material is checked at once.

Procedure: Download/edit spine labels using the M300 (and OMPX diskette temporarily), along with labels for the book cards and pockets, and affix them.

Recommendation: Consider the possibility of barcoding for circulation purposes.

6.8 Reclassification

Policy: All previously cataloged editions are reclassified to the latest L.C. or local call number whenever a new edition is received.

Rationale: This keeps editions together on the shelves.

Implication: Note that in some schedules certain items are classed by date of imprint or period covered; these exceptions should not be prevalent in a law library.

6.9 Location Status

Policy: Determine location prior to card production.

Rationale: This prevents replacing records or updates.

Procedure: On OCLC records must be entirely re-edited to change any data, such as location.

Implication: This will keep archive tapes up to date.

6.10 Final Processing

Policy: After cataloging, material is property stamped and marked, rather than at time of receipt.

Rationale: This is local practice--needed for security and library identification purposes--facilitating returns.

Recommendation: Accessioning may be dropped in an online system.

6.11 Current Volume Reference

Policy: Create a new category called CURRENT VOLUME REFERENCE for continuations.

Rationale: Once technical service functions are more integrated, this will speed processing of such items.

Procedure: Also consider notes like LIBRARY RETAINS LATEST ED. ONLY for directories, for example.

Implication: Note that this is for serials; monographs would have separate records with location data added.

6.12 Statistics

Policy: Prepare statistics as requested.

Rationale: These are kept for administrative use.

6.13 Rush Items

Policy: RUSH materials receive top priority throughout processing.

Rationale: This is a service to users, whether needed because of delayed receipt of materials or when timing is critical.

6.14 Special Cases

Policy: Certain items may not be cataloged, e.g. superseded materials and storage items.

Rationale: Costs may not justify use of these items.

6.15 Backlog Control

Policy: All current uncataloged materials will be done prior to starting any RECON project.

Rationale: Such items may have been purchased for a specific purpose, needing to circulate soon to be useful.

6.16 Cataloging Priorities

Policy: Preferred order of cataloging could be as follows: monographs, serials, microforms, documents, then miscellaneous formats as sound recordings, A-V, MRDF, AMC.

Rationale: Recommendations are based on the following parameters: size of collections, workload involved, value of items to users, needs of other library units, and spatial considerations.

Recommendation: Consider doing a multi-format item all at once: for example, catalog a serial that is a document at the same time that the microform copies are processed.

Implication: Expand the next section (on different types of materials) as the need arises.

7.0 Special Materials

7.1 Serials Control

Policy: Prefer serials treatment to monographic cataloging when appropriate.

Rationale: Longer runs can be handled faster and better in this manner, if there are not excessive variations between issues; a local subsystem (if automation in-house is available) is preferred to manual files.

Documentation: Consult policies 3.0, 4.0 especially 4.7, 5.0 especially 5.4, 6.0 especially 6.11 and 6.16.

Procedure: Prepare special documentation for the online system for MARC tagging and for indexing; use the policies which follow for OCLC card production.

7.1A Satellite Collections

Policy: Determine whether serials in branch libraries will be cataloged concurrently with the main collection.

Rationale: Cataloging is so complex for these materials that work must be done off-line, thus all locations as well as local holdings could be determined.

Documentation: Compare 5.5.

7.1B Supplements

Policy: Catalog serial supplements separately.

Rationale: Consult OCLC Serials Format appendix by law librarian, cited as an example; use note (coded 525) rarely.

Documentation: Compare 5.6.

7.1C Back-up Diskettes

Policy: Make serials data diskette back-ups.

Rationale: The complexity of these records makes this wise practice a necessity; use data for multiple purposes.

7.1D Editors

Policy: Add to editors note (coded 570) if several are involved, but shorten note (per standard cataloging practice) for more than three editors, unless given.

Rationale: A serial may be identified with a few editors, but not when editors frequently change.

Procedure: Do not add access points for numerous editors, because of time involved establishing names.

7.1E Citation Note

Policy: Accept citation notes (coded 510) as given.

Rationale: These cite publications in which the serial is abstracted or indexed.

7.1F Cumulative Index Notes

Policy: Accept cumulative index (coded 555) notes.

Rationale: This note is required in OCLC serials format.

7.1G Restrictions on Access Note

Policy: Keep the restricted access (coded 506) note.

Rationale: It provides useful data.

7.1H Earlier or Later Volumes Cataloged Separately Note

Policy: Examine this note (coded 512) to determine L.C. practice, and modify to satisfy local needs.

Rationale: If L.C. did other volumes separately, one may have followed suit so re-examine cataloging.

Procedure: Recatalog other volumes on the serial record but keep original Cuttering to reduce processing.

Implication: Cancel symbol on OCLC if appropriate.

7.1I Numbering Peculiarities Note

Policy: Keep unformatted notes (coded 515) citing report year coverage and numbering peculiarities.

Rationale: This is system-required, and useful data.

7.1J Summary/Contents Note

Policy: Add scope notes (coded 520+) as needed.

Rationale: These explain contents, for example.

7.1K Additional Physical Forms Available Note

Policy: Keep these other format notes.

Rationale: Information shows alternate formats, and sources, if replacements are ordered.

Implication: Indicate holdings if library has other copies in these formats.

7.1L Issuing Bodies Note

Policy: Keep these notes (coded 550) for issuing bodies.

Rationale: Access is made (in 710 fields) so this practice follows policy 3.29.

Implication: These are provided to justify the use of corporate bodies as access points for works that are official organs of the body.

Procedure: It is recommended that publishers and distributors not be access points, unless editors, since this practice clutters files and may be only a partial list.

7.1M Local Holdings

Policy: Add information (in caps) for special holdings, to alert users in locating material.

Rationale: This expands the practice established in 3.24 and 3.25.

Implication: This practice makes data readily available for recataloging at a later time, or indicates copies.

7.1N Notes on Color

Policy: Add notes (quoted) for color, when volumes are referred to that way, and trace these as titles (coded 730).

Rationale: This guides users to materials--cf. 3.21 and 3.29; examples: Redbook, Green book, etc.

7.1P Serial Uniform Titles

Policy: Create uniform titles for serials in those rare cases when needed to distinguish otherwise identical titles.

Rationale: Title main entry in AACR2 predetermines this practice; users then do not have to look in various places to distinguish similar titles.

Implication: L.C. has used both publisher and place as qualifiers; accept whichever given, even other forms.

7.1Q Serials Classification

Policy: Use the same call number even when titles change.

Rationale: This keeps runs together on the shelves.

Implication: This practice varies from monographs, since a sliding Cutter is not used--cf. 4.7; it however is commonly done with serials.

7.1R Treatment

Policy: Record treatment of other issues in a note on serial record; also make a series authority record.

Rationale: This explains to users special cases as handled locally--cf. 7.1H for L.C. practice.

7.1S Successive Entry

Policy: Follow successive entry cataloging.

Rationale: This follows national standards as a result of AACR2; OCLC usage mandates this practice.

Implication: Any title/author changes necessitate separate records so more is involved than with latest-entry cataloging; determine impact on in-house automation.

7.1T Periodicity

Rationale: Record both current (coded 310) and former (coded 321) frequencies.

Rationale: These fields amplify data in the fixed field and print in a prescribed pattern.

Implication: Added notes may be needed for variations.

7.1U Variable Fields

Policy: Keep all variable fields at present.

Rationale: They may be useful in the future to determine linkage to other records, for example.

Implication: There are limits to the size of records downloaded, so a list of fields which can be deleted may be a possibility.

7.1V Offline Bibliographic Tools

Policy: Consult the L.C. shelf list on microfiche and COMCATs for bibliographic data for contributor copy.

Rationale: These are consulted as needed, but are especially useful for bibliographic linkage of serials.

Documentation: Compare 6.2.

7.1W Title

Policy: Describe title of the issue in hand in OCLC 245 field.

Rationale: Other access points describe variant titles.

Procedure: Provide alternate access for ampersands etc.

Documentation: Compare 1.6.

7.1X Holdings Cards

Policy: Prepare holdings cards for both the official catalog and the main entry card, if the library desires.

Rationale: This provides a manual record of holdings for both the cataloger and for the public.

Procedure: Generate an extra set of spine labels for these cards; use the long labels (normally for book card & pocket) for the holdings cards, and keep the spine label for future use.

Special Procedures: For LIBRARY RETAINS LATEST ED. ONLY line through holdings once held. For CURRENT VOLUME REF. mark an "R" beside the Reference volume; change as necessary.

Documentation: Compare 6.11; note that CURRENT VOLUME REF. will be filed in the Reference shelf list to show the location of most recent volumes, even though earlier volumes are in the stacks. Consult official catalog for complete holdings.

7.2 Loose-leaf Services

Policy: Determine treatment of these items locally.

Rationale: Publication patterns are often erratic.

Documentation: Consult Bibliographic Description of Loose-leaf Publications with Special Emphasis on Legal Materials: Draft for L.C. description.

SUBJECT INDEX

CATALOG MAINTENANCE ... 1.0
AACR2 Impact ... 1.4
Access Points ... 1.6
Disposition of Catalogs...1.8
Filing Practice, Local ...1.3
Filing Revision ... 1.2
Filing Rules ... 1.1
Official Catalog ... 1.7
Subheadings ... 1.5
CLASSIFICATION ... 4.0
Analyzed Sets ... 4.9
Bibliographies ... 4.0
Dates/Letters in Call No. 4.8
Diacriticals & Cutters ...4.4
Local Shelving Policy ... 4.3
Monographs ... 4.6
Projects ... 4.2
Schedules & Tables ... 4.5
Sets & Serials ... 4.7
DEPARTMENTAL WORKFLOW ... 6.0
Accessions Lists ... 6.6
Backlog Control ... 6.15
Card Production ... 6.5
Current Volume Reference 6.11
Dups & Added Volumes ... 6.4
Location Status ... 6.9
Priorities, Cataloging 6.16
Processing ... 6.7
Processing, Final ... 6.10
Processing, Preliminary 6.1
Reclassification ... 6.8
Rush Items ... 6.13
Searching ... 6.2
Sorting ... 6.3
Special Cases ... 6.14
Statistics ... 6.12

DESCRIPTIVE CATALOGING ... 3.0
Abbreviations & Numerals 3.4
Access Points Explained 3.29
Bibliographic History...3.22
Bibliography/Index Notes 3.17
Call No. Designations ...3.13
Closing Sets ... 3.12
Content Notes ... 3.18
Date Information ... 3.10
Foreign Imprints ... 3.6
Holdings Information ... 3.24
Imprint Information ... 3.9
Local Notes ... 3.27
Local Processing ... 3.28
Location Information ... 3.25
Optional Notes ... 3.23
Oversize ... 3.11
Printings ... 3.5
Quoted Notes/Paraphrases 3.21
Reprint Editions ... 3.7
Reprint Notes ... 3.19
Rule Codes ... 3.1
Series Numbering ... 3.14
Series Position ... 3.15
Source of Information ... 3.8
Spacing & Capitalization 3.2
Special Notes ... 3.26
Title Tracing ... 3.3
Temporary Data ... 3.16
"With" Notes ... 3.20
FILE MAINTENANCE ... 2.0
Authority Cars ... 2.8
Established Forms ... 2.1
Local Headings ... 2.2
Name Headings ... 2.5
Production, Card ... 2.7
Series Headings ... 2.4
Subject Headings ... 2.3
Union List ... 2.6
OCLC USAGE ... 5.0
Cooperative Cataloging...5.4
Library Symbol ... 5.3
Photocopies ... 5.7
Satellite Collections ... 5.5
Services ... 5.2
Standards ... 5.1
Supplements ... 5.6

SPECIAL MATERIALS ... 7.0
Serials Control... 7.1
Additional Physical Forms 7.1K
Back-up Diskettes ... 7.1C
Bibliographic Tools ... 7.1V
Cataloged Separately Note 7.1H
Citation Note ... 7.1E
Cumulative Index Notes...7.1F
Editors ... 7.1D
Holdings Cards ... 7.1X
Issuing Bodies Note ... 7.1L
Local Holdings ... 7.1M
Notes on Color ... 7.1N
Numbering Peculiarities...7.1I
Periodicity ... 7.1T
Restricted Access Note...7.1G
Satellite Collections ...7.1A
Serial Uniform Titles ...7.1P
Serials Classification...7.1Q
Successive Entry ... 7.1S
Summary/Contents Note ...7.1J
Supplements ... 7.1B
Title ... 7.1W
Treatment ... 7.1R
Variable Fields ... 7.1U
Loose-leaf Services ... 7.2